



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inter application of: BERINI, Pierre Simon Joseph

Serial No: 10/617,863

Art Unit: 2874

Filed: July 14, 2003

Examiner: N/A

Subject: Optical Waveguide Structures

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
P.O. Box 1450  
Alexandria, VA 22313-1450  
U.S.A.

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR 1.97(b)

Sir:

To comply with applicants' duty of disclosure under 37 CFR 1.56, Form PTO-1449, listing documents known to applicant, is submitted herewith.

- ☒ Copies of some of the listed documents are enclosed.
- ☒ This is a continuing application and copies of the documents were submitted in respect of the parent application No. 09/742,422 and 09/629,816. Copies of the IDS forms for the parent applications are enclosed.

**Relevance of information not in English - 37 CFR 1.98(a)(3)**


- ☐ To comply with 37 CFR 1.98(a)(3), an English language abstract is appended to ... patent No. .... (document ....)
- ☐ Document # discloses
- ☐ The relevance of .... is discussed in the specification.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

Applicant respectfully requests that the listed documents be considered by the Examiner and be made of record in the present application and that an initialled copy of form PTO-1449 be returned in accordance with MPEP Sec. 609.

The Commissioner is hereby authorized to charge any fee required to Deposit Account No. 20-0771.

Respectfully submitted

  
THOMAS ADAMS  
Reg. No. 31078

DATE: November 13, 2003

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Docket No. AP740801CIP



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*(Use as many sheets as necessary)*

Sheet	1	of	2
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**C mplete if Known**

Application Number	10/617,863
Filing Date	July 14, 2003
First Named Inventor	BERINI, Pierre S.J.
Art Unit	2874
Examiner Name	
Attorney Docket Number	AP740801CIP

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	9	WO 00/16140	03-23-2000	University of S		
	10	WO 02/08810	01-31-2002	HVAM et al		
	11	EP 0 324 611	07-19-1999	HGK Insulators		
	12	WO 02/10815	02-07-2002	3849988 Canada		

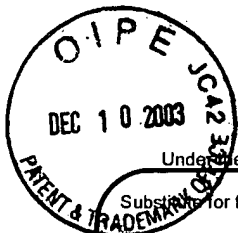
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

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Art Unit	2874
Examiner Name	
Attorney Docket Number	AP740801CIP

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	13	JAEGER et al "Voltage-Induced Optical Waveguide Modulator in Lithium Niobate", IEEE Journal of Quantum Electronics, Vol 25. No. 4, 1989, pp 720-728	
	14	ASHLEY et al "Improved Mode Extinction Modulator Using a Ti-Indiffused LiNbO3 Channel Waveguide", Applied Physics Letters, Vol 45, No.8 1984, pp. 840-842	
	15	YARIV AND YEH "Optical Waves in Crystals", John Wiley & Sons, New York 1984	
	16	BOZHEVOLNYI "Waveguiding in Surface Plasmon Polariton Band Gap Structures" Physical Review Letters Vol 86, No. 14, April 2, 2001	

Examiner  
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